

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

REISSUE APPLICATION: CONSENT OF ASSIGNEE; STATEMENT OF NON-ASSIGNMENT		Docket Number (Optional) SONY-R7018
This is part of the application for a reissue patent based on the original patent identified below.		
Name of Patentee(s) KAZUNORI OZAWA, NOBUHIRO TONE, MASAHIRO ASAI		
Patent Number 5,870,710	Date Patent Issued FEBRUARY 9, 1999	
Title of Invention AUDIO TRANSMISSION, RECORDING AND REPRODUCING SYSTEM		
<p>1. <input checked="" type="checkbox"/> Filed herein is a statement under 37 CFR 3.73(b). (Form PTO/SB/96)</p> <p>2. <input type="checkbox"/> Ownership of the patent is in the inventor(s), and no assignment of the patent is in effect.</p> <p>One of boxes 1 or 2 above must be checked. If multiple assignees, complete this form for each assignee. If box 2 is checked, skip the next entry and go directly to "Name of Assignee".</p> <p>The written consent of all assignees and inventors owning an undivided interest in the original patent is included in this application for reissue.</p>		
The assignee(s) owning an undivided interest in said original patent is/are <u>SONY CORPORATION</u> , and the assignee(s) consents to the accompanying application for reissue.		
Name of assignee/inventor (if not assigned) SONY CORPORATION		
Signature <i>Yujiro Yamanka</i>	Date <i>Jan. 19, 2001</i>	
Typed or printed name and title of person signing for assignee (if assigned) YUJIRO YAMANAKA, MANAGER LEGAL & INTELLECTUAL PROPERTY DEPT.		

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

REISSUE APPLICATION DECLARATION BY THE INVENTOR

Docket Number (Optional)

SONY-R7018

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is described and claimed in patent number 5,870,710, granted February 9, 1999, and for which a reissue patent is sought on the invention entitled AUDIO TRANSMISSION, RECORDING AND REPRODUCING SYSTEM

the specification of which

☒ is attached hereto.

☐ was filed on _____ as reissue application number _____ / _____ and was amended on _____ (If applicable)

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I verily believe the original patent to be wholly or partly inoperative or invalid, for the reasons described below. (Check all boxes that apply.)

☐ by reason of a defective specification or drawing.

☒ by reason of the patentee claiming more or less than he had the right to claim in the patent.

☐ by reason of other errors.

At least one error upon which reissue is based is described below. If the reissue is a broadening reissue, such must be stated with an explanation as to the nature of the broadening:

It is respectfully submitted that the application from which the original patent issued failed to claim apparatus without the use of means plus function language and failed to claim certain features of our invention, as now set forth in the present reissue application. It is further respectfully submitted that at least one of the new claims added to the present reissue application are broader in scope with respect to the original patent in that the at least one new claim is not limited under 35 U.S.C. Section 112, 6th paragraph. It is further respectfully submitted that the application from which the original patent issued failed to claim other aspects of applicant's invention, specifically a memory interface apparatus.

[Page 1 of 2]

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

(REISSUE APPLICATION DECLARATION BY THE INVENTOR, page 2)

Docket Number (Optional)
SONY-R7018

All errors corrected in this reissue application arose without any deceptive intention on the part of the applicant. As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the United States Patent and Trademark Office connected therewith.

Name(s)	Registration Number
CHARLES P. SAMMUT	28,901
SUSAN M. SCHMITT	34,427

Correspondence Address: Direct all communications about the application to:

☐ Customer Number

Type Customer Number here

Place Customer Number Bar
Code Label here

<input checked="" type="checkbox"/> Firm or Individual Name	CHARLES P. SAMMUT				
Address	350 WOODSIDE AVENUE				
Address					
City	MILL VALLEY	State	CA	Zip	99941-3822
Country	U.S.A.				
Telephone	415-383-8341	Fax	415-388-7539		

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine and imprisonment, or both, under 18 U.S.C. 1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this declaration is directed.

Full name of sole or first inventor (given name, family name)

KAZUNORI OZAWA

Inventor's signature

Date

Residence

Citizenship JAPAN

Mailing Address c/o SONY CORPORATION
6-7-35 KITASHINAGAWA, SHINAGAWA-KU, TOKYO, 141-0001 JAPAN

Full name of second joint inventor (given name, family name)

NOBUHIRO TONE

Inventor's signature

Date

Residence

Citizenship JAPAN

Mailing Address c/o SONY CORPORATION
6-7-35 KITASHINAGAWA, SHINAGAWA-KU, TOKYO, 141-0001 JAPAN

Full name of third joint inventor (given name, family name)

MASAHIRO ASAI

Inventor's signature

Date

Residence

Citizenship JAPAN

Mailing Address c/o SONY CORPORATION
6-7-35 KITASHINAGAWA, SHINAGAWA-KU, TOKYO, 141-0001 JAPAN☐ Additional joint inventors are named on separately numbered sheets attached hereto.

Please type a plus sign (+) inside this box → +

PTO/SB/81 (10-00)
Approved for use through 10/31/2002. OMB 0651-0035
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it display a valid OMB control number.

POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	NEW
Filing Date	HEREWITH
First Named Inventor	KAZUNORI OZAWA
Group Art Unit	UNKNOWN
Examiner Name	UNKNOWN
Attorney Docket Number	SONY-R7018

I hereby appoint:

☐ Practitioners at Customer Number →

Place Customer
Number Bar Code
Label here

☒ Practitioner(s) named below:

Name	Registration Number
CHARLES P. SAMMUT	28,901
SUSAN M. SCHMITT	34,427

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Firm or
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name

YUJIRO YAMANAKA

Signature

Yujiro Yamanaka

Date

Jan. 19, 2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

6

LIMITED POWER OF ATTORNEY TO TAKE ACTION
ON BEHALF OF SONY CORPORATION

I hereby declare that I am President of Sony Corporation, a Japanese corporation with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-Ku, Tokyo, Japan. As President of Sony Corporation, I hereby declare that I have the authority to execute Patent Disclaimers and actions on behalf of the Assignee under 37 C.F.R. §§ 3.71 and 3.73 on behalf of said Sony Corporation. I hereby grant power of attorney to execute Patent Disclaimers and take other actions on behalf of the Assignee under 37 C.F.R. §§ 3.71 and 3.73 on behalf of Sony Corporation to the following individual(s) with the same effect as if I had executed such Patent Disclaimers or taken such other actions under 37 C.F.R. §§ 3.71 and 3.73 myself, such power to run until revoked in writing:

Yujiro Yamanaka and Kinichi Namatame

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the U. S. Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Signed: _____

Norio Ohga

Date: July 13, 1993

Title: President, Sony Corporation

ASSIGNMENT

Docket Number: SONY-P7018

WHEREAS, I, as a below named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in AUDIO REPRODUCING APPARATUS AND METHOD, AUDIO RECORDING APPARATUS AND METHOD, AUDIO RECORDING AND REPRODUCING SYSTEM, AUDIO DATA TRANSMISSION METHOD, INFORMATION RECEIVING APPARATUS, AND RECORDING MEDIUM for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, Sony Corporation, a Japanese corporation with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-Ku, Tokyo, Japan (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: Serial Number: 08/785,958, Filing Date: January 22, 1997

This assignment executed on the dates indicated below.

KAZUNORI OZAWA
Name of first or sole inventor

May 31, 1997
Execution date of U.S. Patent Application

KANAGAWA, JAPAN
Residence of first or sole inventor

Kazunori Ozawa
Signature of first or sole inventor

May 31, 1997
Date of this assignment

NOBUHIRO TONE

Name of second inventor

1997.5.27

Execution date of U.S. Patent Application

TOKYO, JAPAN

Residence of second inventor

Nobuhiro Tone

Signature of second inventor

1997.5.27

Date of this assignment

MASAHIRO ASAI

Name of third inventor

1997.5.27

Execution date of U.S. Patent Application

KANAGAWA, JAPAN

Residence of third inventor

Masahiro Asai

Signature of third inventor

1997.5.27

Date of this assignment

Name of fourth inventor

Execution date of U.S. Patent Application

Residence of fourth inventor

Signature of fourth inventor

Date of this assignment

Name of fifth inventor

Execution date of U.S. Patent Application

Residence of fifth inventor

Signature of fifth inventor

Date of this assignment

RECEIVED

AUG 1997

LIMBACH & LIMBACH

AUGUST 07, 1997

PTAS

LIMBACH & LIMBACH
PHILIP M. SHAW, JR., ESQ.
2001 FERRY BLDG.
SAN FRANCISCO, CA 94111



UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER

OF PATENTS AND TRADEMARKS

Washington, D.C. 20231



100456915A

SONY - P7018

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/18/1997

REEL/FRAME: 8591/0003

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
OZAWA, KAZUNORI

DOC DATE: 05/31/1997

ASSIGNOR:
TONE, NOBUHIRO

DOC DATE: 05/27/1997

ASSIGNOR:
ASAI, MASAHIRO

DOC DATE: 05/27/1997

ASSIGNEE:
SONY CORPORATION
7-35, KITASHINAGAWA 6-CHOME, SHINAGAWA-KU
TOKYO 141, JAPAN

SERIAL NUMBER: 08785958

FILING DATE: 01/22/1997

PATENT NUMBER:

ISSUE DATE:

DOROTHY RILEY, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

07-16-1997

JUN 18 1997



100456915

To the Assistant Commissioner of Patents. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): MIRD 06-18-97
KAZUNORI OZAWA; NOBUHIRO TONE; MASAHIRO ASAI

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: May 31, 1997; May 27, 1997; May 27, 1997

2. Name and address of receiving party(ies):

Name: SONY CORPORATIONInternal Address: Tokyo International P.O. B.
100-31, JapanStreet Address: 7-35, Kitashinagawa 6-chome, Shinagawa-kuCity Tokyo 141 Country Japan

Additional Name(s) & address(es) attached?

☐ Yes ☒ No

Application number(s) or patent number(s):

A. Patent Application No.(s): 08/785,958
Filed: January 22, 1997

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

Name and address of party to whom correspondence concerning document should be mailed:

Name: Philip M. Shaw, Jr., EsquireInternal Address: Limbach & Limbach
Street Address: 2001 Ferry Building
City, State, ZIP: San Francisco, California 94111
Telephone: (415) 433-4150
Facsimile: (415) 433-8716Attorney Docket No. SONY-P70186. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41):.....\$ 40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number: 12-1420

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Philip M. Shaw, Jr.
Name of Person SigningPhilip M. Shaw, Jr.
SignatureJune 16, 1997
Date07/14/1997 JJALLAH 00000246 08785958
01 FC:581 40.00 OPTotal number of pages comprising cover sheet: 1

OMB No. 0651-0011 (exp 4/94)

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks
Box Assignments
Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20213, and to the Office of Management and Budget, Paperwork Reduction Project, (0651-0011), Washington, D.C. 20503

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

KAZUNORI OZAWA, NOBUHIRO TONE, MASAHIRO ASAI/

Applicant/Patent Owner: SONY CORPORATION

Application No./Patent No.: 08/785,958 / 5,870,710 Filed/Issue Date: 01/22/1997 02/09/1999

Entitled: AUDIO TRANSMISSION, RECORDING AND REPRODUCING SYSTEM

SONY CORPORATION, a CORPORATION

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 8591, Frame 0003, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Jan. 19, 2001
Date

YUJIRO YAMANAKA

Typed or printed name

Yujiro Yamanaka
Signature

MANAGER, LEGAL & INTELLECTUAL PROPERTY DEPT.

Title